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09/545,045	04/07/2000	Ming Zhou	M-8327-US	9423

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EXAMINER
FLEURANTIN, JEAN B

ART UNIT	PAPER NUMBER
2172	

DATE MAILED: 12/05/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 07-01)

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on _16 September 2002_ .

2a)☒ This action is **FINAL**.   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
    closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _1-3,6,8-13 and 33-43_ is/are pending in the application.

   4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _1-3,6,8-13 and 33-43_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11)☐ The proposed drawing correction filed on _____ is: a)☐ approved b)☐ disapproved by the Examiner.

    If approved, corrected drawings are required in reply to this Office action.

12)☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

13)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

    1.☐ Certified copies of the priority documents have been received.

    2.☐ Certified copies of the priority documents have been received in Application No. _____ .

    3.☐ Copies of the certified copies of the priority documents have been received in this National Stage
        application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

    a) ☐ The translation of the foreign language provisional application has been received.

15)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)   4)☐ Interview Summary (PTO-413) Paper No(s). _____ .
2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5)☐ Notice of Informal Patent Application (PTO-152)
3)☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ .   6)☐ Other: .

DETAILED ACTION

1.   Claims 33-43 are added.

Claims 1-3, 6, 8-13 and 33-43 are remained pending for examination.

2.   Applicant's arguments submitted on 09/16/02 respect to claims 1-3, 6, 8-13 and 33-43

have been fully considered but are moot in view of the new ground(s) of rejection. Examiner

discusses the new added claims 33-43 in the following rejection.

Response to Applicant' Remarks

3.   Applicant stated on page 9, that Mahoney et al. do not disclose or suggest "deleting a

temporary directory." Thus, the arguments are moot in view of the new ground(s) of rejection.

Claim Rejections - 35 U.S.C. § 103

4.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in
> section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are
> such that the subject matter as a whole would have been obvious at the time the invention was made to a person
> having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the
> manner in which the invention was made.

Claims 1-3, 6, 8-13 and 33-43 are rejected under 35 U.S.C. 103(a) as being unpatentable

over Mahoney et al. (US Pat. No. 5,819,271) in view of van Hoff (US Pat. No. 5,822,539)

("Mahoney") ("van Hoff").

As per claims 1 and 33, Mahoney substantially teaches a method for file sharing over a

network (thus, the central repository server 2 is coupled via a central site 1 to one or more remote

corporation workstations 18 the corporation workstations 18 are used by corporations to submit

corporation information to the repository server 2 optionally, the corporate workstations 18 are

coupled to the repository server 2 via proprietary network comprising a plurality of contributor

servers 22 alternatively or additionally a corporation workstation 18 may provide corporate

information to the repository server 2 via the Internet; which is readable as file sharing over a

network)(see col. 8, lines 54-63) as claimed comprises authenticating a user on a first computer

connected to a second computer by the first network (thus, the user is required to provide a user

identification code "ID" and a password, the web server submits a login request to the CGI

program to verify that no other user is using the same ID; which is readable as authenticating a

user on a first computer connected to a second computer by the first network) (see col. 6, lines

36-40);

creating a temporary directory on the second computer, wherein the temporary directory

has at least a partially random directory name (thus, When providing information via the WWW

information providers can in a crude way "customize" the information for a user, one simple

example of customization is providing the user with the results of a query, here the user submits

a query to the web server, e.g., by completing a form and based on the user's request the web

server creates a web page (or form) comprising information satisfying the query and transfers this

web page (or form) to the user's browser program for display; which is readable as creating a

temporary directory on the second computer, wherein the temporary directory has at least a

partially random directory name) (see col. 3, lines 10-22);

receiving a request for a first file from <u>the user on the</u> first computer to <u>the</u> second

computer, wherein the first file is on a third computer <u>connected to the second computer by a</u>

<u>second network</u> (thus, the information that is provided to users is stored in electronic form at a

central server called a repository server ideally users communicate with the repository server via

the Internet the repository server is coupled to the Internet by a web server the repository server

comprises or is coupled to a plurality of databases of information including corporate information

and research reports stored in electronic form; which is readable as receiving a request for a first

file from <u>the user on the</u> first computer to <u>the</u> second computer, wherein the first file is on a third

computer <u>connected to the second computer by a second network</u>) (see col. 6, lines 12-20);

determining whether <u>the</u> user <u>on</u> the first computer is permitted access to the first file

(thus, there exists a need for a system for the electronic distribution of corporate information to

those who a permitted to have access to and wish to access the information; which is readable as

determining whether <u>the</u> user <u>on</u> the first computer is permitted access to the first file) (see col. 3,

lines 31-34);

creating a link <u>in the temporary directory</u> on the second computer if the user is permitted

access (thus, when the user initially accesses the web server, the user initially accesses the web

server the user is required to provide a user identification code 'ID' and a password the web

server submits a login request to the CGI program to verify that no other user is using the same

ID, once the user has provided the ID and password the repository server will determine what

information that user is authorized to receive; which is readable as creating a link on the second

computer to the first file in response to the request for the first file if the user is permitted access)

(see col. 6, lines 36-43), also see col. 3, lines 10-21, <u>wherein the link points to the first file on the</u>

<u>third computer</u> (thus, a hypertext link may have different meanings and link to different sites for

different users, which is equivalent to <u>wherein the link points to the first file on the third</u>

<u>computer</u>) (see col, 17, lines 60-61);

creating a web page description including an URL to the link <u>comprising a path to the</u>

<u>first file in the temporary directory on the second computer</u> (thus, a web server when returning an

HTTP object to an Internet browser may also send a piece of state information which the Internet

browser will store included in the state object is a description of the range of URLs for which

that state is valid, future HTTP requests made by the Internet browser which fall within that

range will include a transmittal of the current value of the state object from the Internet browser

to the web server <u>comprising a path to the first file in the temporary directory on the second</u>

<u>computer</u>; which is readable as creating a web page description including an URL to the link)

(see col. 13, lines 20-27). Further, in column 9, lines 60 through 64, Mahoney teaches the system

takes the bases URL of the final editorialized corporate template and links on that site are

crawled each page is text indexed and each text index is associated with the sub-URL of the

page; and

transmitting the web page description to the first computer via the <u>first</u> network (thus,

global computer networks such as the Internet enable information to be distributed to a wide

range of people at locations around the world one of the many advantages of the Internet

particularly the World Wide Web 'WWW', is that the communication protocols used are

non-proprietary thus enabling end users to access and use the Internet without the need for

customized hardware or software; which is readable as transmitting the web page description to

the first computer via the network) (see col. 2, lines 46-52). But, Mahoney does not explicitly

indicates steps of deleting the temporary directory on the second computer. However, van Hoff

indicates all of the directories are deleted, otherwise only the directory specified by the DocURL

parameter id deleted, (see col. 9, lines 40-49). Thus, it would have been obvious to a person of

ordinary skill in the art at the time the invention was made to modify the teachings of Mahoney

and van Hoff with steps of deleting the temporary directory on the second computer. This

modification would allow the teachings of Mahoney and van Hoff to improve the quality of the

dynamic link, and provide a method usable in the same type of computer network for providing

hypertext link annotations for requested documents (see col. 3, lines 31-33).

As per claims 2 and 34, Mahoney substantially teaches a method as claimed, wherein the

link is a Unix symbolic link (see cols. 6-7, lines 59-10).

As per claims 3 and 35, Mahoney substantially teaches a method as claimed, wherein the

link is a text file containing a path to the first file on the third computer (thus, return a list of

reports and items of corporate information recently received at the repository server 2; which is

readable as wherein the link is a text file containing a path to the first file on the third computer)

(see col. 14, lines 37-43).

As per claims 6 and 37, Mahoney substantially teaches a method as claimed, further comprises creating a random session identification for the <u>user on the first computer</u> subsequent to <u>said</u> authenticating <u>a</u> user and prior to <u>said</u> creating <u>a temporary</u> directory, wherein the <u>at least partially random</u> directory name comprises at least partially of the session identification (thus, when the user initially accesses the web server the user is required to provide a user identification code 'ID' and a password the web server submits a login request to the CGI program to verify that no other user is using the same ID; which is readable as creating a random session identification for the <u>user on the first computer</u> subsequent to <u>said</u> authenticating <u>a</u> user and prior to <u>said</u> creating <u>a temporary</u> directory) (see col. 6, lines 36-40).

As per claim 8 and 38, Mahoney substantially teaches a method as claimed, further comprises the steps of determining if a <u>second</u> directory on the third computer has reached a predetermined capacity (thus, the repository server 2 provides investors with lists of reports and corporate information received from the workstations 14, 16, 18 and allows investors to request lists of reports and corporate information that fit certain criteria the investor can select reports and corporate information from these lists to down-load view and/or print generally lists of reports and corporate information are generated by web server 4; which is readable as determining if a <u>second</u> directory on the third computer has reached a predetermined capacity) (see col. 11, lines 16-23); and

if the <u>second</u> directory has reached the predetermined capacity, creating on the third computer a second directory with a <u>third</u> directory name that is sequentially incremented from a

second directory name of the second directory (thus, the contributor of a report or corporate

information can be notified that a particular investor has accessed that report and item of

corporate information the repository server 2 maintains for each report and item of corporate

information a list of those who accessed that report the repository server 2 can transmit that list

or a statistical summary of that list to preserve privacy to the contributor on a regular basis and/or

when requested by the contributor; which is readable as if the second directory has reached the

predetermined capacity, creating on the third computer a second directory with a third directory

name that is sequentially incremented from a second directory name of the second directory) (see

col. 11, lines 24-31).

As per claims 9, Mahoney substantially teaches a method as claimed, further comprises,

the steps of searching for a second directory on the third computer that was last backed up and a

third directory that was most recently created (thus, the corporate information for each

corporation is arranged in two frames namely an index frame and a contents frame the index

frame includes a topic hyperlink to various segments or types of the corporate information, e.g.,

'corporate highlights', 'latest news', 'upcoming events', 'recent management presentations',

'annual and quarterly reports', and 'SEC documents', ideally the index frame will have mostly

the same entries for each corporation; which is readable as searching for a second directory on

the third computer that was last backed up and a third directory that was most recently created)

(see col. 4, lines 35-43); and

backing up all directories on the third computer having directory names sequentially

between a <u>second</u> directory name of the <u>second</u> directory and a <u>third</u> directory name of the <u>third</u>

directory (thus, the repository server 2 maintains for each report and item of corporate

information a list of those who accessed that report the repository server 2 can transmit that list

or a statistical summary of that list to preserve privacy to the contributor on a regular basis and/or

when requested by the contributor; which is readable as backing up all directories on the third

computer having directory names sequentially between a <u>second</u> directory name of the <u>second</u>

directory and a <u>third</u> directory name of the <u>third</u> directory) (see col. 11, lines 26-31).

As per claims 10 and 40, Mahoney substantially teaches a method as claimed, further

comprises the steps of backing up a directory on the third computer that was previously backed

up if the number of files currently in the directory is substantially less than the original number of

files in the directory (thus, the repository server 2 maintains for each report and item of corporate

information a list of those who accessed that report the repository server 2 can transmit that list

or a statistical summary of that list to preserve privacy to the contributor on a regular basis and/or

when requested by the contributor; which is readable as backing up a directory on the third

computer that was previously backed up if the number of files currently in the directory is

substantially less than the original number of files in the directory) (see col. 11, lines 26-31).

As per claims 11 and 41, the limitations of claims 11 and 41 are rejected in the analysis of

claim 40, and these claims are rejected on that basis.

As per claim 12, in addition to the discussion in claim 1, Mahoney further teaches steps

of receiving a second file from the first computer to the second computer (thus, the contributor

workstations 14, 16 are used brokage and investment banking firms to submit investment reports

to the repository server 2; which is readable as receiving a second file from the first computer to

the second computer) (see col. 8, lines 42-48).

As per claim 13, Mahoney substantially teaches a method as claimed, further comprises

the steps of saving the second file in the third computer with a file name that is sequentially

incremented from a file name of a third file that was previously saved in the third computer (thus,

the repository server 2 maintains for each report and item of corporate information a list of those

who accessed that report the repository server 2 can transmit that list or a statistical summary of

that list to preserve privacy to the contributor on a regular basis and/or when requested by the

contributor; which is readable as saving the second file in the third computer with a file name

that is sequentially incremented from a file name of a third file that was previously saved in the

third computer) (see col. 11, lines 26-31).

As per claim 36, Mahoney substantially teaches a method as claimed, further comprises

determining whether the user has access to the file subsequent to said receiving a request and

prior to said creating a link (see col. 7, lines 11-13).

As per claim 39, the limitation of claim 39 are rejected in the analysis of claim 9, and this

claim is rejected on that basis.

As per claim 42, the limitation of claim 42 are rejected in the analysis of claim 12, and this claim is rejected on that basis.

As per claim 43, the limitation of claim 43 are rejected in the analysis of claim 13, and this claim is rejected on that basis.

5.   The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Karaev et al. US Patent Number 5,802,518 relates to the field distribution of information via the internet to authorized recipients.

6.   Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL.** See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

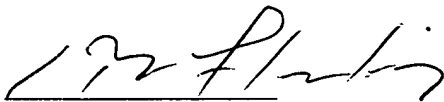Application/Control Number: 09/545,045

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Conclusion

7.   Any inquiry concerning this communication from examiner should be directed to Jean

Bolte Fleurantin at (703) 308-6718. The examiner can normally be reached on Monday through

Friday from 7:30 A.M. to 6:00 P.M.

If any attempt to reach the examiner by telephone is unsuccessful, the examiner's

supervisor, Mrs. KIM VU can be reached at **(703) 305-8449.** The FAX phone numbers for the

Group 2100 Customer Service Center are: *After Final* **(703) 746-7238,** *Official* **(703) 746-7239,**

and *Non-Official (703) 746-7240.* NOTE: Documents transmitted by facsimile will be entered

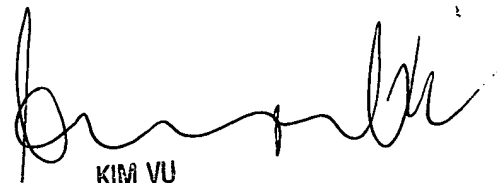as official documents on the file wrapper unless clearly marked *"DRAFT".*

Any inquiry of a general nature or relating to the status of this application or proceeding

should be directed to the Group 2100 Customer Service Center receptionist whose telephone

numbers are **(703) 306-5631, (703) 306-5632, (703) 306-5633.**

Jean Bolte Fleurantin

November 24, 2002

JBF/

KIM VU
SUPERVISORY PATENT EXAMINER
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